

ADHS Human Subjects Review Board
SECURITY CONSIDERATIONS FOR APPLICANTS

In Arizona, and nationwide, there is a growing concern about theft and fraudulent use of birth and death records, especially in conjunction with identity theft. High profits and low risks provide great temptations to both low-income employees and professional thieves. The National Center for Health Statistics and other groups and government agencies have begun to respond to this challenge.

The Arizona Department of Health Services is heightening the security awareness of research use of Arizona's vital records, and requires the following considerations be addressed in your research application for use of birth or death records.

PHYSICAL SECURITY

1. Does your institution possess a limited-access vault or safe that could house the paper or electronic master file of the requested records?
2. If not, please list the staff, either by name or position, who may have any access to the storage room, including researchers, assistants, custodians, etc.
3. What security procedures have you established for key access to both the storage area and cabinet?
4. Briefly describe the use of deadbolt locks for the storage area, your institution's alarm system for after hours unauthorized entry, etc.

ELECTRONIC SECURITY

If Arizona records will be maintained in electronic formats, please also address the following issues:

1. List the staff, either by name or position, who may have any access to the records.
2. Are the workstations located in a secure area?
3. Are passwords used?
4. If yes, how frequently are they changed?
5. Are the records destroyed after data entry has been completed?
6. As principal investigator, has a written statement addressing the specific date and method of destruction of the data or records been provided to the HSRB?
7. As principal investigator, is an intra or external communication network maintained?
8. If yes, what security provisions are employed to guard the data?
9. Are firewalls, encryption or other security techniques used?
10. If the answers to any of the above questions are no, does the institution with whom the study is associated have up-coming plans for implementing these security measures?

Any additional information that you can provide on your institution's data security policies will assist the Human Subjects Review Board in the appropriateness of releasing the requested data to the principal investigator.

Revised 7/26/05